



Report of: Director of Finance

Title: Bundred Report and Annual Governance Statement Tracker

Ward: N/A

Officer Presenting Report: Denise Murray

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Recommendation

The Audit Committee acknowledge progress made to date against the Action Plan and consider any issues arising.

Summary

The 2016/17 Annual Governance Statement and Bundred review identified a number of issues that needed to be addressed to ensure continuous improvement in the governance framework, financial and budget management, and the process for managing the achievement of savings .

The improvements identified have been incorporated into a separate Annual Governance Statement Action Plan to be regularly monitored in 2017/18 and progress reported to the Audit Committee.



1. Purpose

- 1.1. To report on progress made to date against the Annual Governance Action Plan arising from the Bundred Review and the 2016/17 Annual Governance Statement.

2. Background

- 2.1 The members of the Audit Committee previously endorsed, in their meeting on 23rd June 2017, that the Committee should receive monitoring reports at each of its meetings advising of progress against the Annual Governance Statement Action Plan. This is the first such monitoring report for the year 2017/18 and covers the following:

- The progress made to date against the implementation of the agreed actions arising from the Councils response to the Bundred review is summarised below and details attached as Appendix A.
 - *Bundred Review – 85 Actions proposed; the status of implementation as at September 2017 is:*
 - *Green – Completed and Evidenced - 48 (56%)*
 - *Amber - In Progress with evidence – 37 (44%)*
 - *Red – Not started /started but not evidenced, date at risk – 0 (0%)*
- The actions within the draft 2016/17 Annual Governance Statement which was presented to Audit Committee in June 2017 and the updated version now presented for formal adoption on behalf of the Council, at the meeting on 21st September 2017, as part of the 2016/17 Statement of Accounts, is summarised below and details attached as Appendix B.
 - *Annual Governance Statement – 22 Actions:*
 - *Green – Completed and Evidenced - 4 (18%)*
 - *Amber - In Progress with evidence – 17(77%)*
 - *Red – Not started / started but not evidenced, date at risk – 1 (5%)*

3. Proposal

- 3.1. The Audit Committee considers the progress made to date against the Action Plan and consider any issues arising and raising challenge where appropriate.

4. Other Options Considered – N/A

5. Risk Assessment

- 5.1. The publication of an Annual Governance Statement is a legal requirement and the processes of implementation, monitoring and reporting of improvement actions arising therefore constitute an important element of the Council's governance arrangements. The actions identified within the response to the Bundred report and the Annual Governance Statement constitutes important measures whereby the Council's overall management of organisational risk can be enhanced.

6. Public Sector Equality Duties

6.1. Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:

- i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
- ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --
 - remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;
 - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it (in relation to disabled people, this includes, in particular, steps to take account of disabled persons' disabilities);
 - encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.
- iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to –
 - tackle prejudice; and
 - promote understanding.

6.2 No Equality Impact anticipated from this report.

7. Legal and Resource Implications

Legal – N/A

Financial – N/A

Land – N/A

Personnel – N/A

8. Appendices:

- Appendix A – Bundred Review Actions
- Appendix B – Annual Governance Actions

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

9. Background Papers:

None.

Total Actions	85
Green complete and evidenced	48
Amber in progress with evidence	37
Red not started, started but not evidenced, date at risk	0

Appendix A - Bundred Review Actions

Bundred Review Document Reference						
No	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G
1	1. For future significant savings programmes, especially any involving projects which embrace more than one Directorate, the Council should ensure stronger governance arrangements and clearer Member oversight (paragraph 45)	B1	A new process has been designed and implemented that issues all budget Managers with 'Directorate Cash Limits'	Denise Murray	Ongoing	G
1	1. For future significant savings programme	B2	Each savings proposal has been allocated a named Strategic and Service Director lead as accountable officers	Denise Murray	Mar-17	G
1	1. For future significant savings programme	B3	A new governance and delivery assurance framework provides a robust framework for tracking and monitoring delivery, and provides early sight of any issues that may arise allowing for early intervention and mitigations - this new governance will be kept under review and adapted to ensure maximum effectiveness	Nicki Beardmore	n/a	G
1	1. For future significant savings programme	B4	All savings proposals now undergo a formal sign off procedure to ensure that appropriate accountability is clearly and transparently defined and responsibilities are clearly delegated to the appropriate Strategic or Service Director for delivery and tracking	Nicki Beardmore		G

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No	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG
1	1. For future significant savings programme	B5	Alignment and combination of the monthly mechanisms for managers and Service/Strategic directors to submit a holistic view of savings delivery from a financial and action focussed perspective	Denise Murray	Mar-17	G	Delivery Executive in place and established (please see below)
1	1. For future significant savings programme	B6	Member oversight as an element to the governance process that now includes a Delivery Executive	Anna Klonowski		G	Delivery Executive in place from March 17 and meeting weekly. DE Chaired by Deputy Mayor – Finance, Governance and Performance. Relevant Portfolio holders should also attend these sessions, providing joint ownership and accountability for savings by both members and officers.
1	1. For future significant savings programme	B7	An OSMB led review of the Council’s arrangements for Scrutiny	Shahzia Daya	May-18	G	This is a member led process and the initial planned review has been completed. This is amber because the members are trialling the new methods of scrutiny throughout 17/18 with a view to finalise constitutional changes for the 2018 AGM.
1	1. For future significant savings programme	B8	Updated position in respect of the delivery of savings will be routinely reported as part of the budget monitoring report	Denise Murray	Jun-17	G	The two monitoring process are integral; progress on delivery of savings is now reported periodically through monthly savings report and also integrated within the finance monitoring reports to SLT / Scrutiny and Cabinet
1	1. For future significant savings programme	B9	A one-off investment fund has been allocated to support savings related change activity across the council	Denise Murray	Feb-17	G	The Capacity Investment fund is created from a one off (reserve) intended to go across financial years to support project and transformation delivery. Early indication is that the full £5m may be required in 17/18 to fund PMO resource additional project / transformation work and mitigate any residual in-year budget pressures. Full detailed analysis of proposed usage will be incorporated within the budget monitoring report.
1	1. For future significant savings programme	B10	Further consultation is expected to be required in respect of some areas of savings proposals and will commence when the General Elections have concluded	Shahzia Daya		G	Further consultation activity was rescheduled to commence post the General Election; these are being progressed by Members, Service Leads and supported by consultation Teams; any impact on delivery of 17/18 savings has been factored into the profile and budget monitoring reports.

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1	1. For future significant savings programme	B11	Where there is a risk to the delivery of savings, mitigation plans will be developed immediately in conjunction with the relevant Portfolio Holder	Denise Murray	Oct'17 - in terms of next steps identified. Other 'evidence based' items already in place	G	In 2017/18 we have reinforced the requirement to operate within approved cash limits, seek directorate mitigations for emergent pressures and in consultation with the relevant Cabinet member formally request a supplementary estimate and / or hold expenditure in abeyance to ensure delivery of a balanced budget. A three tier escalating budget scrutiny / improvement protocol has been developed aimed at addressing service areas where financial performance is a concern and at a directorate level, the net position could destabilise the council's financial position.
1	1. For future significant savings programme	B12	Directorates will be challenged to explore alternative options for meeting the cost pressures faced within their existing resources or seek supplementary estimate to increase the directorate spending limit	Denise Murray	Ongoing	G	Please see comments above
1	1. For future significant savings programme	B13	The first budget monitoring report will be reported to Cabinet in June 2017	Denise Murray	Ongoing	G	Integrated budget monitoring report being presented to cabinet on a monthly basis which incorporates delivery on savings initiative in line with forecasted out turns within budgets and agreed reporting cycle. The report also incorporates key financial risks and opportunities, an analysis of the agreed savings programme and what is deemed to be at risk, and review of aged debt with improvement measures and progress.
1	1. For future significant savings programme	B14	Between March 2017 and June 2017, when there is no Cabinet a draft budget monitoring report will be made available to Members as per normal procedure	Denise Murray		G	Complete - The first cycle budget monitoring report commenced at period two as per the financial reporting cycle and have continued there on, there has been a Cabinet for each one, where there is no Cabinet meeting scheduled, it is our intent they will be submitted virtually to ensure there is no gap in the information submitted to Members .
2	2. Wherever possible, the Council should ensure that responsibility for the delivery of specific savings initiatives is allocated to Directorates so that ownership of savings programmes and accountability for them is clear (Paragraph 66).	B15	Cross cutting projects allocated to specific Strategic and Service directors, who will design and ensure delivery of the saving	Denise Murray		G	Complete - see the comments in B2

Bundred Review Document Reference							
No	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG
3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B16	A new business case template has been implemented which covers all development gateway stages and adopts the principles of the HM Treasury Green Book best practice methodology	Nicki Beardmore		G	New Business Case template in place from March alignment with HM Treasury Green Book methodology - further iterations and improvements have been made through a continuous improvement approach. The business case template and guidance includes information which facilitates the development of a robust and transparent document and includes some pre-defined questions to prompt the author / quality assurer.
3	3. The Council should adopt a more discipl	B17	Ensure that the protocols regarding the independent assurance of reports is refreshed and strengthened to make sure that all of the relevant professionals e.g. legal, HR, finance, ICT, Property services are given ample time to comment on reports	Nicki Beardmore	May-17	G	In relation to savings business cases going to DWG and SLT, PMO BC Assurance introduced May '17 - Corporate Services Professional Views sought as part of monthly reporting, exception reporting and business case production. Reports follow an alternative process in seeking sign-off from service professional and whilst the process is clear this still requires improvement in the forward planning of items to ensure sufficient time is available for due diligence.
3	3. The Council should adopt a more discipl	B18	Review of the decision pathway, associated protocols and process map to ensure consistent implementation	Shahzia Daya	Oct-17	A	New decision Pathway consulted on and implemented, feedback received as identified the need for simplification, with internal group sign-off process and a further review is now underway - please see AGS 7 for further clarity re the issue / action.
3	3. The Council should adopt a more discipl	B19	Business Case training for managers when required along with support from a Change Business Partner	Nicki Beardmore	Oct'17	A	'On the job' through PM's working alongside Service Leads in producing this – and to some degree the learning imparted through the PMO Assurance Process, there is now specific training that Change Services have been part of. Further assessment of need to be undertaken and incorporation into the L&D plan if this approach is not sufficient.
3	3. The Council should adopt a more discipl	B20	All officers have access to the new business case template through the source which provides a step by step guide to developing a robust business case at all stages in the project lifecycle	Annabel Scholes		G	Template in place as of Mar'17 please see B16 above
3	3. The Council should adopt a more discipl	B21	The Change Business Partners will work alongside service leads and signpost them to the guidance available on The Source as required	Annabel Scholes		G	x2 CBP's in place pre March '17 - additional capacity added Jun'17. Further refinement of role / offer in place as of Jun'17. Corporate Services Professional Views sought as part of monthly reporting, exception reporting and business case production. Detail of this process and supporting ToR for professional views group can be provided.

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3	3. The Council should adopt a more disciplined, centrally driven approach to business cases supporting investment decisions or savings projects. There should be a standard template of what constitutes an acceptable business case and a standard procedure through which the template must be completed and approved (paragraph 65).	B22	The officer responsible for delivering the agreed business case, will be responsible for tracking the assumptions underpinning the business case and, where there is a material change are expected to report this to SLT and their portfolio holder(s) in a timely manner, particularly with respect to benefits realisation	SLT		G	Reporting in place as of Mar'17 - alignment to finance reporting cycle as of Jun'17. Change Control process and version control reinforced through DE/DWG Support available through Change Services
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B23	All reports must include all of the feasible options available to be implemented and be supported by a robust evidence base or business case	SLT		G	Template in place as of Mar'17
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B24	SLT have agreed and the Chief Executive has recently reinforced the need for reports rather than presentations to be used as the basis of discussions and decisions at officer meetings	SLT		G	Complete Mar'17 with presentation being used as supplementary to the main report upon which the decisions made and consistency is ensured in the data set.
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B25	In future each report should have sufficient detail to 'stand- alone', key messages and recommendations must be clear and succinct, supported by appropriate evidence and relevant professional advice; and where necessary, reports must enable councillors to refer easily to relevant policies and previous decisions and discussions	SLT		G	Complete Mar'17. This is further reinforced through the PMO Assurance process as it is solely based on what can be evidenced in the BC document
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B26	Each report / business case requires sign off	SLT		G	Audit trail in place through DWG and decision pathway
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B27	Officers are currently developing a new development programme for the Bristol Manager framework that will assist managers with the key competency requirements	Jacquie McGeachie	Oct-17	G	The Bristol Manager programme is designed as a set of facilitated learning sessions on a number of core business processes, to include support to prepare business cases and reports. Research on good practice has been undertaken during August, including conversations with Change Services colleagues. This learning has been identified as a priority and can be delivered as a standalone product if required.
4	4. The Council should take steps to build on recent improvements in the quality of reporting and document management. Where necessary guidance should be issued, or training provided, to report authors emphasising the importance of clarity, transparency, analysis and advice (paragraph 121).	B28	In addition to formal arrangements for reporting and challenging budget performance, such as Cabinet and Scrutiny, the Council will also develop more informal, but nevertheless robust arrangements for Member briefings on key issues or ward matters	Shahzia Daya, and SLT		G	Regular briefings are taking place with portfolio holders, Mayor and the Executive.

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4	4. The Council should take steps to build on recent im	B29	Strategic and Service Directors ensure that sufficient time is provided to enable reports to be fully considered and signed off by all the relevant professionals (Legal, Finance, HR etc.) and in accordance with the protocol prior to submission for inclusion on agendas	SLT	Ongoing	A	There is a week between submission of a document and the date of review; however forward planning needs to improve to ensure that the appropriate level of due diligence is undertaken which can on occasion require more than the initial assessment.
4	4. The Council should take steps to build on recent im	B30	SLT and Service Directors will ensure that the minute taking of meetings and working groups is improved ensuring that a summary of the report and discussion is included along with clear agreements/recommendations and timescales	SLT		G	Steps have been put in place to improve minutes, with particular focus on where endorsement / approval is being sought. The onus is on all in attendance to review and agree the minutes / actions as an integral part of the agenda.
4	4. The Council should take steps to build on recent im	B31	New protocols will be issued to emphasise the need to comply with internal storage of documents to facilitate audit trails and transparency	Shahzia Daya		A	The document retention schedule to be reviewed and refreshed as appropriate. This was covered in part by the information security training that has taken place across the organisation. Modern Go will be revisited now that its fully implemented to ensure the electronic system is effective and compliant.
4	4. The Council should take steps to build on recent im	B32	As part of the development of the revised working arrangements for the Council, the necessity for all of the current officer working groups will be reviewed, terms of reference will be refreshed / or developed	Anna Klonowski		A	New decision Pathway and Internal Groups; subject to review - please see B18 above for response
4	4. The Council should take steps to build on recent im	B33	Review of levels of delegation of working groups and Boards, linking back to the constitution, decision pathway and budget and policy framework	Shahzia Daya		A	Briefing sessions have been provided on the Constitution and the Scheme of Delegation for all managers. The core documents have been reviewed with a number of changes proposed. These will be submit to SLT for endorsement and published thereafter.
4	4. The Council should take steps to build on recent im	B34	The schemes of internal officer delegations will also be reviewed at least annually	Shahzia Daya		G	Officer executive decision process was covered in the briefing, template produced to provide consistency, CPG expectation is that the template is provided for request in excess of £100k and an officer draft rolling 12 month forward view of possible Key decisions and Officer executive decisions has been developed for planning purposes.
4	4. The Council should take steps to build on recent im	B35	A learning and development programme will be created that will help support colleagues across the council to have the right skills and tools to enable them to do their job to a high standard	Jacquie McGeachie	Oct-17	A	This is a repeat of B27

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5,6	5. Members should be less tolerant of poor quality reports than they appear to have been in the past (paragraph 120). 6. Where they do not already exist, arrangements should be made for report authors to receive feedback from Member or senior officer discussion of their reports as a matter of routine (paragraph 113).	B36	Members will be supported through the Member Development programme to recognise & challenge when a report is of poor quality	Shahzia Daya	for some program	A	The officers supported by the LGA have drafted a programme for Members to develop a programme of essential and desirable skills. this has been shared in draft with party group leaders whilst officers are in the process of re-establishing a Member working group to consider the draft and reshape as appropriate. The member development programme will continue to be supported by the LGA and once endorsed will be rolled out in accordance with an agreed implementation plan.
5,6	5. Members should be less tolerant of poor quality reports	B37	All Strategic and Service Directors will provide the appropriate support and guidance to ensure that the quality of reports improve	SLT		A	Quality of report writing continues to be improved with a gateway of assurance being provided with SLT. Training to be developed as part of the new management training programme.
7	7. Relevant officers should be reminded of their responsibilities	B38	Strategic and Service Directors will make arrangements to brief Members on major issues e.g. MTFP, corporate strategy, savings proposals and policy changes concerning the Council and, more specifically, about issues and events affecting the Ward areas as appropriate	Shahzia Daya		G	See B40 below
7	7. Relevant officers should be reminded of their responsibilities	B39	Portfolio holders will also facilitate briefings with backbenchers and opposition members to ensure Councillors are fully briefed on key policy decisions as they evolve	Shahzia Daya		G	Where the opportunity exist for an observer or additional member(s) to join the meeting this has been taken; for example Shareholder Group meeting, Audit Committee and Party Group Leaders.
7	7. Relevant officers should be reminded of their responsibilities	B40	The development of a Protocol On Councillor/Officer Engagement	Shahzia Daya		G	The Protocol will be specifically reviewed and updated as part of the Constitution review and will be presented to Full Council November 2017
7	7. Relevant officers should be reminded of their responsibilities	B41	Strategic Directors will provide the appropriate support and guidance to ensure these protocols are embedded throughout their Directorates	Shahzia Daya, and SLT	Ongoing	A	Following adoption by full Council of the revised codes and protocols training will be provided through management brief for cascading and placed on the source.
7	7. Relevant officers should be reminded of their responsibilities	B42	Officers will continue to reflect upon the feedback from OSMB and other Members to further enhance the approach adopted to engaging with all Members on the 2017/18 budget issues in the development of key strategic documents	Denise Murray	Ongoing	G	In developing the MTFP, officers worked with OSMB Scoping Group to develop the principles and engaged with all political groups following endorsement from exec board of the approach to be adopted. We are now at the second stage of the process and developing propositions that align to the principles and will continue to engage widely with the OSMT&F groups as part of the next stage in this process.
7	7. Relevant officers should be reminded of their responsibilities	B43	In developing the Medium Term Financial Plan we will provide comprehensive information on the challenges and options we face and stage a series of early engagement meetings with political groups and scrutiny to listen to the views and seek input into the process	Denise Murray		G	Complete - as per the above

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8	8. The incoming chief executive should be invited to consider and report on the steps needed to improve the management culture within the Council, recognising that any necessary changes will take three to five years to embed. There should be an emphasis on greater openness, professionalism, delegation, mutual respect and better internal communication, but with fewer large and lengthy meetings (paragraph 129).	B44	Development of a programme to address the weaknesses identified in this report and issues raised in the staff survey	Jacquie McGeachie	Oct-17	G	A plan of leadership development and improving organisational culture is in the late planning stages. This incorporates the feedback of the staff survey and uses the funding allocated by the Mayor for the 17/18 and 18/19 budget.
		B45	Development of a new target operating model that will provide the necessary clarity to ensure the organisation is clear about its priorities, values and behaviours	Anna Klonowski		A	TOM to be shared with the organisation by December. An approach to linking the strategic direction of the organisation with job design and performance management needs to be designed and this will need to be consistent with Corporate Plan priorities and resulting service performance measures.
		B46	Clarify and focus on strategic priorities with measurable success factors	Tim Borret	Apr-18	A	In flight but relies on initial completion of Corporate Strategy review which is underway.
		B47	Develop and pilot a programme to ensure a single culture in BCC	Anna Klonowski	Ongoing	G	Draft Organisational values due for consideration by SLT and Cabinet during Sept. As BS34 A culture and L&D work stream is currently being developed as part of the wider workforce strategy. This will be a long-term, multi-faceted work programme underpinned by the organisation values and supported by a corporate narrative and comms and engagement strategy
		B48	Ensuring that performance objectives for all managers flow from our strategic objectives but equally are a demonstration of commitment to values and behaviours	Anna Klonowski		A	See response above to B45
		B49	The Chief Executive (supported by Strategic Directors) will monitor and challenge the number of Officers at meetings	Anna Klonowski		A	There has been challenge on the number of officers at exec meetings and steps has been taken to reduce where appropriate.
		B50	The Chief Executive to visit a range of workplaces to listen and talk with colleagues, providing an opportunity for them to share work priorities and challenges	Anna Klonowski		G	This is happening via the Drop-in Sessions which are happening across key BCC sites

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		B51	Creation of space for working collaboratively and transparently on cross-cutting issues	SLT		G	This is being embedded in change work via the Hot House process. The culture and L&D programme includes the role out of hot house and agile principles for problem solving for teams to use in their everyday business. The comms and engagement approach will involve plenty of opportunities for co-design and collaboration on issues. E.g.: Management Briefing collaboration on cross cutting issues, focus groups for specific issues, Mayor and CX discussion sessions with colleagues on specific cross-cutting themes
		B52	Develop a single shared view amongst colleagues of our strategic priorities and our progress against them	Anna Klonowski		A	See B45 above for response
		B53	A culture that ensures it is “safe for truth to be spoken to power”, encourages two way feedback and values honesty integrity and transparency	Anna Klonowski	01-Sep-17	G	A group with volunteer managers running from Jun – Sep to test tools and techniques. Outputs shared from sprint group at management brief in the Autumn. Sprint work to inform a larger piece of work engaging the wider organisation needs to be constructed.
		B54	A learning and development programme will be created for The Bristol Manager	Jacquie McGeachie	Oct-17	G	As B27 Above
		B55	Actively seek opportunities to recognise and celebrate success	Jacquie McGeachie		A	To be picked up in workforce plan. In the meantime good news and shared learning is shared with colleagues on Source. A proposal on a more formal recognition of success can be expected as part of the pay and reward work stream of the workforce plan
		B56	A fund to be allocated to support the work on culture development and invest in colleagues learning and development	Jacquie McGeachie		G	As B27 Above
		B57	Participation in the LGA Corporate Peer Challenge	Anna Klonowski	TBC	A	The Corporate Peer challenge was postponed due to the Grenfell Tower tragedy but a new date is being discussed with the LGA. This has impacted on the delivery timescales or all subsequent Peer Challenges. Discussions are taking place with the LGA re the revised dates and details will be notified in due course.
		B58	Participation in the Housing Delivery and HRA Peer Challenge	Anna Klonowski	TBC	A	See comments above
		B59	Participation in the Children's Social Care Peer Challenge	Anna Klonowski	TBC	A	See comments above
		B60	Participation in the Adult Social Care Peer Challenge	Anna Klonowski	TBC	A	See comments above

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9	9. The Council should take further steps to improve the quality of its Finance function, modernise its role and enhance its status. Response: Finance functions are being restructured to implement a more robust business partnering delivery model. This will enable finance to be at the heart of the organisation and influence business decision.	B61	Finance functions are being restructured to implement a more robust business partnering delivery model	Denise Murray		G	Significant improvement have been made to the quality of high level financial support provided, reflected in feedback from Strategic, Service Directors and members. A consultation on the restructure of finance is imminent and that will ensure appropriate capacity and skillsets at the right level.
	The finance function will improve the efficiency of transactional processes Relevant outstanding recommendations of the review commissioned in December 2015 should be actioned as a matter of urgency (paragraph 130).	B62	The finance function will improve the efficiency of transactional processes which will bring insight, intelligence and support complex propositions	Denise Murray		G	Included within the Finance Transformation
		B63	Improve how reports produced by the internal / external auditor, other regulators and inspectors are dealt with and shared and continue to strengthen our approach for responding to recommendations	Denise Murray		G	A range of reports have been produced - example: Annual governance statement, Quarterly Statements, Final Audit Reports - which have produced a more user friendly report and greater depth of information. Work continues to further improve the actual internal audit reports
		B64	Monitoring and proactively managing non-compliance will be essential	Denise Murray		A	We have reports to show where Budget managers are and are not completing spend forecasts and initial (rather than retrospective) purchase order compliance. Substantial progress has been made in ensuring compliance with budgetary control and other key financial processes, but there is still much to be done in terms of self serve. We have reports to show where Budget managers are and are not completing spend forecasts and purchase order compliance, but a formal process still needs to be implemented via DLTs and SLT to ensure measurable improvements in compliance rates. A Procurement Card review is ongoing with a view to minimising the volume of cards and spend and ensuring greater transparency and control (Chris Holme 6/9)

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		B65	It will be necessary to take an end-to-end approach and combine top down and bottom up initiatives	Denise Murray		A	Finance Transformation Programme is inflight and progressing
		B66	A more robust approach to providing assurance through the Annual Governance Statement has been developed, ensuring that all budget managers and responsible officers are an integral part of the overall governance assessment. All responsible officers now complete and sign off an AGS statement that feeds into the wider overall assurance across the authority	Denise Murray		A	A new approach is now in place which will be updated and monitored more regularly - ideally on a quarterly basis. Co-ordinated by Internal Audit For the 2016/2017 statement, the final signed submission is due imminently. A process for evidence to be captured on a more regular basis e.g. quarterly is now in place to further embed the principles of good governance. Adoption by Audit Committee of the action plan will provide the indication for the effectiveness of the 16/17 approach and indication that this task is complete.
		B67	Continued implementation of the Improvement Plan which will be updated to take into account the recommendations of the Bundred Report	Denise Murray		A	Improvement is continuous and should be monitored on an ongoing basis. A number of the key documents that form the financial framework have or are in the process of being refreshed for submission for approval November 2017 in line with the constitution. Underpinning protocols have been implemented and draft terms of reference being prepared to further improve areas such as capital governance.
		B68	DUPLICATION of above B66 - A more robust approach to providing assurance through the Annual Governance Statement	Denise Murray		A	Item duplicated with B66 above
		B69	The Resources Directorate are piloting a new delivery model in accordance with the approved policy framework to test internal shared service arrangements in the first instance, which also responds to the advice from the external review of finance	Annabel Scholes		A	Finance Transformation Programme is inflight and progressing
		B70	Work continues on the Finance systems to progress the identified requirement to conclude the IT system developments and avoid the need for significant use of spreadsheets etc. which jeopardises the “single version of the truth”	Denise Murray		A	In progress - systems developments have been focused on the revised reporting formats for the in-year monitoring reports, dashboards and aged debt. This was the first stage and work will now continue on the wider system transformation work required and agree revised dates and milestones.
		B71	Peer review of the Internal Audit function has been commissioned which will also embed Key Audit deliverables in Service BAU	Denise Murray		A	The date was deliberately back-ended to ensure it didn’t create capacity issues in managing the AGS and volume of internal audit review that was in the pipeline

Bundred Review Document Reference							
No	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG
10	10. The previous recommendation that the Council should "Develop a Competency Framework and agree the way forward re Assessment and Development centres" in relation to its Finance staff is overdue and should be given priority (paragraph 134).	B72	Appointment of a permanent structure based on CIPFA principles	Denise Murray		A	There is a draft structure which includes required financial qualifications for senior officer posts, details are being finalised with a plan to commence consultation in September 2017
		B73	Utilise an assessment centre based on those which have been developed and used in other authorities	Denise Murray	TBC	A	Comments as above (B72), as part of this process, skills assessments will be undertaken
		B74	The finance function needs to create the conditions that enable it to be agile, adaptable, and accountable and to learn from success as well as failure so that responding quickly to change is second nature, constantly striving for the best possible services and outcomes	Denise Murray		A	A formal structure needs to be implemented and embedded, however, with the change in Business Partners, and a number of vacancies, it has provided an opportunity to operate an agile structure with points of contact for service areas and projects, operating in a matrix style as opposed to fixed business partners working solely within a directorate
		B75	A transitional structure will be implemented	Denise Murray		A	Duplicated with restructure below - suggest we remove
11	11. This should be actioned alongside a review of the role and requirements of Business Partners as part of the current review of the Finance Directorate structure (paragraph 134).	B76	Business Partners and the new internal shared service will lead the Business Support function, ensuring the smooth, seamless coordination and execution of the finance service provider function, including project delivery	Denise Murray		A	The function is moving towards this model and project work with a more agile, skills based matrix approach adopted. Fully embedding the line management principles identified will however require the implementation of the new permanent structure.
		B77	Interim and final Finance structures will incorporate a mentoring and larger trainee scheme to enable BCC to "grow its own"	Denise Murray	Ongoing	A	This will be one aspect of B80 L&D on which activity has commenced.
		B78	Appointment of Business Partner roles on a skills based assessment	Denise Murray	TBC	A	Restructure of finance due to go out to consultation in September / October 2017 and skills based assessments will form part of the recruitment process for senior roles.
		B79	A competency framework will be implemented which outline the set of competencies needed to perform each of the roles effectively and career progression pathway	Denise Murray	Nov-17	A	A restructure is planned for the function with tiers which are conducive to career progression. Support will be commissioned from internal L&D and CIPFA to develop a competency framework that aligns to the revised role profiles.
		B80	The organisation is in the process of building the learning & development programme	Denise Murray	Oct-17	A	Work has commenced with the initial focus on workforce resourcing: ensuring that we have the right level of resource with the right skills, and a planned pipeline for the future. Additional interim resource has been recruited to provide capacity and complement / enhance existing skills and work has commenced on introduction of a revised L&D programme which will provide supported Professional training and provide clarity on the expectation from our employees in return. A pipeline of trainee's / apprentices is also being considered.

Bundred Review Document Reference							
No	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date (if applicable)	R/A/G	Comments on RAG
12	12. The more timely reporting of budget monitoring information that has now been introduced should continue into the future. If the Council opts to return to quarterly budget monitoring and the first quarter report cannot be considered in July, there should be routine reporting in June or July of the position as at the end of May (paragraph 118).	B81	Members and scrutiny receive regular, detailed budget reports that provide information on progress, variance against plans and corrective action already underway or planned	Denise Murray		G	SLT, Members and Scrutiny received Period 2 and other subsequent periodic reports on schedule, with the first report for the period presented for the 27 July Cabinet
		B82	Clear links between the Council’s capital programme and its service and revenue budget planning processes, both of which take account of the MTFP	Denise Murray		G	2017/18 budget and the Medium Term Financial Plan have set out clearly the impact that capital programme and its financing has on the revenue position, revenue and capital budgeting are set simultaneously and reported on within the monitoring report.
		B83	Finalise the guidance for the new monthly monitoring process and embed these processes for 2017/2018	Denise Murray		G	Guidance has been drafted and will be issued to budget managers from start of P3 - June Outline guidance incorporated into monthly into budget managers forecasting returns. Additional training and support has been provided during the early part of the financial year
		B84	Publish the 2017/2018 budget monitoring timetable that reflects the 6 weekly cabinet cycle	Denise Murray		G	Timetable for internal budget monitoring was published in April, timetable for reporting to cabinet was discussed with the Dept. Mayor however due to 6 weekly cabinet there were issues with timely reports to cabinet and therefore not finalised. Moving back to the monthly cabinet cycle means this can now be addressed, finalised and published internally and externally. All monitoring reports are published in the Council's forward plan of Cabinet reports.
		B85	Capital reporting to be automated and reflect multiple year programme direct from the Finance System	Denise Murray		G	Complete - in P2 reporting (May).

Total Actions	22
Green - complete and evidenced	4
Amber - in progress with evidence	17
Red - not started, started but not evidenced, date at risk	1

Appendix B - Annual Governance Actions

Ref	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG
1	The responses to the Bundred report agreed at Cabinet will be regularly monitored in 2017/18 in line with the AGS action plan.	AGS 1.1	See Actions 1-12 above	SLT			See supplementary schedule
2	Internal Audit introduce more rigorous tracking of Internal Audit recommendations, incorporating more regular provision of Monitoring Information to Strategic and Service Directors.	AGS 2.1	More rigorous monitoring of the implementation of Internal Audit recommendations is scheduled for 2017/18 accompanied by the enhancing of communication and escalation to Strategic Directors and Service Directors, who will then be held to account for their performance by the Chief Executive and Members.	Denise Murray		G	The provision of monitoring information to Strategic and Service Directors is now in place. This will form the basis of reporting to SLT and the Audit Committee. Audit Champions have also been established and having a point of contact has proved useful in this process. Escalation processes are in place but has not been required to date.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.1	Developing a wider strategic approach to delivering the Mayor's vision and strategic priorities including : 50yr City wide plan, the Economic Growth Strategy, Refreshed Corporate Strategy, Target Operating Model (TOM), Medium Term Financial Plan (MTFP), Business plans, Performance management framework, Workforce plan, the employee offer, experience and development, Transformation plans, Communication and employee engagement plan and Values and behaviours framework	Anna Klonowski		A	The Economic Strategy is one of the key documents in the strategic framework that provides the golden thread from the Mayor's vision to baseline individual delivery. Resources have been commissioned to support its development and early scoping work has ensued. This is a significant piece of work and remains on track for delivery within this financial year.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.2	Target Operating Model to be finalised and approved.	Anna Klonowski	Dec-17	A	Development well underway and early thinking shared with the Mayor. The TOM will need to take account of any refresh made to the Corporate Plan and a more fundamental review is required.
3	Develop a wider strategic approach to delivering the Mayor's vision and strategic priorities.	AGS 3.3	Medium Term Financial Plan to be finalised and approved.	Denise Murray		G	The MTFP has been completed - submitted to Cabinet 27th July and approved. Work is now underway to develop the annual budgets that flow from the MTFP
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	AGS 4.1	Our employees are supported by a comprehensive individual performance management process, with objectives that link to the Councils overarching principles and priorities outlined in the TOM. (see 3 above)	Jacquie McGeachie	Dec-17	A	TOM to be shared with the organisation by December. An approach to linking the strategic direction of the organisation with job design and performance management needs to be designed and this will need to be consistent with Corporate Plan priorities and resulting service performance measures.
4	Performance objectives to be linked to the Council's overarching principles and priorities outlined in the TOM.	AGS 4.2	Where the management of employee performance management is not as per the Council's target completion rates, remedial action plans be implemented.	Jacquie McGeachie		A	Work is in progress to review the performance management process.
5	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	AGS 5.1	Capital governance to be reviewed and project management / profiling and monitoring strengthened to ensure the Council achieves its investment aspiration and does not unnecessarily lock revenue	Denise Murray		A	Terms of reference are being prepared for a new approach which merges the Property and Capital Boards into a single Investment Working Group with a governance approach which will reflect that adopted for revenue.
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.1	A Commissioning and Procurement Group has been established to consider all procurement requests including requests for waivers. The Council must instigate robust Council-wide contract monitoring governance and guidelines in order to ensure best practice for all procurement activities, value for money is achieved and poor contract management arrangements are quickly identified. Internal Audit to continue to undertake assurance reviews of the effectiveness of Procurement and Contract Management arrangements which support the Council in achieving value for money and delivering on corporate objectives	Anna Klonowski		A	The Commissioning and Procurement Group (CPG) was established and operates a gateway approach in considering all procurement requests including requests for waivers, officers are clear on the approach and gateways. A discussion document was prepared for SLT to discuss future approach to procurement and CPG to which further consideration is required. A Category Management strategic approach is being adopted within the procurement function which aims to organise procurement resources to focus on specific areas of spends. This enables category managers to focus their time and conduct in depth market analysis to fully leverage their procurement decisions on behalf of the whole organisation. Category manager recruitment is underway.

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6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.2	Contract Monitoring governance and guidelines to be reviewed and disseminated throughout the Council.	Denise Murray		A	Please see the response above
6	Improve the timing and advanced planning for procurement and subsequent post award Contract Management	AGS 6.3	Internal Audit to complete assurance reviews of the effectiveness of procurement and contract management arrangements.	Denise Murray		R	Although several investigations/ special request audits have been undertaken or are in progress in relation to procurement, the planned work within the Audit Plan on contract management has not commenced yet.
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.1	The review of both the Decision Pathways and internal working groups to be completed with specific reference to the complexity of existing decision making.	Anna Klonowski		A	Reviews of both the Decision Pathway and the current internal working groups are being undertaken with meetings in the pipeline. An officer draft rolling 12 month forward view of possible Key decisions and Officer executive decisions has been developed for planning purposes.
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.2	Briefing sessions provided on the Constitution and the Scheme of Delegation for all managers.	Nicki Beardmore		G	Briefing sessions have been provided for all managers on the Constitution, the Scheme of Delegation, the financial framework, Key decisions and Officer executive decisions.
7	The number of decision documents and processes need to be simplified bringing together the Mayor and Cabinet's decision making and internal working groups	AGS 7.3	The Constitution, Scheme of Delegation and Financial Regulations be submitted to full Council for full approval.	Shahzia Daya	Nov-17	A	The Constitution, Scheme of Delegation and Financial Regulations have been reviewed with a number of changes proposed, not all of which were supported. In light of this the documents are being further refined for endorsement by the Mayor and Cabinet and submission to full Council for approval November 2017.
8	Partnership Agreements be reviewed and to provide guidelines on best practice, value for money and minimising the risk to which the Council is exposed.	AGS 8.1	Partnership agreements to be reviewed to improve governance and provide guidelines in order to ensure best practice, value for money and minimise the risk to which the Council is exposed. The Work Plan of BDO (External Audit) includes review of both the Council's partnership arrangements and its interest in companies. The findings will be reported to the Audit Committee.	Denise Murray		A	Partnership / Contract life cycle management requires efficient management from contract creation, execution, governance and analysis for maximising operational and financial performance and minimising risk arrangements for service delivery. We need to ensure that the arrangements continue to be satisfactory to all parties to the agreement, and the expected business benefits and value for money are being realised. Work is underway within the Council to improve process (see point 8 below) and major partnerships agreements e.g. PFI under review. A fundamental requirement is that the Council fully understands the obligations of all parties under the contract; following which an assessment can be made as to whether value for money is being achieved and a professional and objective discussion over changes and issues arising can be had. This will remain an ongoing work stream
8	Partnership Agreements be reviewed and to provide guidelines on best practice, value for money and minimising the risk to which the Council is exposed.	AGS 8.2	External Audit reporting of both the Council's partnership arrangements and its interest in companies be reported to the Audit Committee	Denise Murray		A	A review of the governance in operation for Companies is underway across the group, looking at best practice from other authorities, including the role of Council Officers, Members, the skills required for Board members and shareholder assurance; it will report back in September with recommendations considered on how best to achieve the improved outcomes we seek.
9	An information security risk assessment has been completed to identify risks, lessons learnt and Action Plan developed. This will inform the Internal Audit plan for 2017/18	AGS 9.1	An information security risk assessment has been completed to identify risks, lessons learnt and Action Plan developed. This will inform the Internal Audit plan for 2017/18	Alison Comley		A	The PSN certificate has now been awarded and having resolved the outstanding issues, we are accredited as an authority The action plan is still in development in terms of pulling together all of the actions into one place. The final document indicating what is still outstanding is due next week.

Ref	Recommendation	Activity Ref	Noted Activity	Responsible Owner (SLT member, Service Director)	Revised Date	R/A/G	Comments on RAG
10	Risk Management processes need further embedding to provide forward looking views of risk which anticipate risk rather than retrospective reporting of how already known risks are managed	AGS 10.1	The Risk Management Policy be reviewed and approved . Internal Audit will review Risk Management arrangements and recommend improvements to arrangements.	Denise Murray		A	A draft review of the Risk Management Policy has been prepared, presented to SLT and Exec Board in August / September 2017. Feedback has been received following engagement e.g. greater reflection of risks associated to delivery of strategic priorities being sought. This is an iterative process and will feeds into the version to be presented to the next Audit Committee.
10	Risk Management processes need further embedding to provide forward looking views of risk which anticipate risk rather than retrospective reporting of how already known risks are managed	AGS 10.2	The Corporate Risk Register be reviewed, refreshed and approved.	Denise Murray		A	An extensive consultation has occurred in respect of reviewing which risks should feature on the CRR. This will be reviewed by SLT in September 2017, alongside the risk captured in the previous register to ensure completeness and strategic context is reflected.
11	The Member Development Programme be reviewed and approved.	AGS 11.1	The Members Development Programme is currently being reviewed and formulated. Training sessions and financial briefings to be provided to members	Shahzia Daya		A	The officers supported by the LGA have drafted a programme for Members to develop a programme of essential and desirable skills. this has been shared in draft with party group leaders whilst officers are in the process of re-establishing a Member working group to consider the draft and reshape as appropriate. The member development programme will continue to be supported by the LGA and once endorsed will be rolled out in accordance with an agreed implementation plan.
12	The Protocol for Member /Officer Relations be updated and approved.	AGS 12.1	The Protocol will be reviewed and updated as part of the Constitution review and will be presented to Full Council November 2017	Shahzia Daya		A	The member Protocol will be specifically reviewed and updated as part of the Constitution review, which will be presented to Full for approval Council November 2017
13	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	AGS 13.1	The Audit Committee should formally review its effectiveness annually in year and prioritise any improvements for the subsequent reporting period.	Denise Murray		A	2016/17 Self assessment carried out and reported to full council, the improvements noted will be implemented in year and this process will continue for 2017/18 and feedback will be sought from the Chair of the Committee re; its effectiveness.
14	Audit report relating to the control and treatment of Council assets identifying lessons learnt from assets disposal be concluded.	AGS 14.1	Audit report to be concluded to identify lessons learnt from asset disposal.	Denise Murray		G	The relevant report has been reviewed, re-drafted and discussed with the relevant management. A review has been undertaken to ensure that policy/procedures are being followed, an outline of best practice and areas of weakness as been identified and these will now be acted upon.